

PATENT APPLICATION
Application No. 10/686,462
Paper Dated September 15, 2004
Attorney Docket No. 124256.00401



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Where Application of : Steven Kirk Donoho et al.
Filed : October 15, 2003
Application No. : 10/686,462
Title : Method and System for the Protection of Broker and Investor Relationships, Accounts and Transactions
Group Art Unit : 3621
Examiner : Not Yet Assigned

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTION OF FILING RECEIPT

Sir:

Applicants are in receipt of the Filing Receipt dated January 16, 2004 for the above-identified application. The Filing Receipt states that the priority date for the application is May 12, 2003. Applicants knowledge that the original filing date afforded for the priority application was May 12, 2003. However, the actual priority application was filed on March 7, 2003. Applicants thus filed a Petition to Correct Filing Date of Provisional Application with the United States Patent and Trademark Office which was subsequently granted. A copy of the Petition and of the grant are enclosed, showing the filing date of March 7, 2003. Applicants respectfully request correction of the Filing Receipt to reflect this date as follows.

Domestic Priority Data as Claimed by Applicant

This application claims the benefit of U.S. Provisional Patent Application No. 60/453,112 filed March 7, 2003.

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A copy of the marked-up original Filing Receipt is also enclosed, showing the changes as requested.

Respectfully submitted,

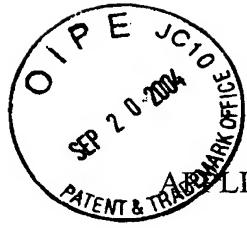
PEPPER HAMILTON LLP



James M. Singer
Registration No. 45,111

Pepper Hamilton LLP
500 Grant Street
One Mellon Center, 50th Floor
Pittsburgh, PA 15219
Telephone: (412) 454-5023
Facsimile: (412) 281-0717

Date: September 15, 2004



LW

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

APPLICANTS: Steven Kirk Donoho et al.

TITLE: Method and System for the Protection of Broker and Investor Relationships, Accounts and Transactions

SERIAL NO.: 10/686,462

ATTORNEY REF: 124256.00401

DATE OF DEPOSIT: SEPTEMBER 16, 2004

I HEREBY CERTIFY THAT THIS REQUEST FOR CORRECTION OF FILING RECEIPT DOCUMENT IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE VIA UNITED STATES POST OFFICE EXPRESS MAIL UNDER 37 C.F.R. § 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO U.S. PATENT AND TRADEMARK OFFICE, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

Maria N. Dupain

(Typed or printed name of person mailing paper or fee)

Maria N. Dupain

(Signature of person mailing paper or fee)

Documents Sent:

Request for Correction of Filing Receipt
Marked-Up Version of Filing Receipt Showing Changes as Requested
Copy of Petition Grant

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/686,462	10/15/2003	3621	1148	124256.0401	38	41	3



Pepper Hamilton LLP
 One Mellon Center
 50th Floor
 500 Grant Street
 Pittsburgh, PA 15219

CONFIRMATION NO. 7085

FILING RECEIPT



OC000000011712053

Date Mailed: 01/16/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Steven Kirk Donoho, Chantilly, VA;
 Patrick Kiplinger Hyde, Falls Church, VA;
 Nimish Sheth, Falls Church, VA;
 Anil Sesha Kumar Venuturupalli, Fairfax, VA;

Domestic Priority data as claimed by applicant

03/07/2003

This appln claims benefit of 60/453,112 05/12/2003 *

(*)Data provided by applicant is not consistent with PTO records.

Foreign Applications

If Required, Foreign Filing License Granted: 01/15/2004

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

Method and system for the protection of broker and investor relationships, accounts and transactions

Preliminary Class

705

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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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